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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1268/2/2

First Inventor David A. Lightfoot

Title See 1 in Addendum

Express Mail Label No. ET475301932US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 125]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 23]
5. ☒ Oath or Declaration [Total Pages 4]
  - a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))
  - b. ☒ (for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper
  - c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Substitute Sequence Listing.. (155 pages)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09 / 007,119

Prior application information:

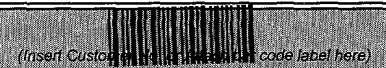
Examiner Kimball, M.

Group Art Unit: 1638

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

25297

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Arles A. Taylor, Jr.

Registration No. (Attorney/Agent)

39,395

Signature

Arles A. Taylor, Jr.

Date

September 18, 200

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09/18/01  
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PTO

RICHARD E. JENKINS  
JEFFREY L. WILSON  
ARLES A. TAYLOR, JR.  
JENNIFER L. SKORD  
DAVID P. GLOEKLER  
GREGORY A. HUNT  
JOHN A. LAMERDIN, Ph.D. (PATENT AGENT)  
DAVID P. STITZEL (PATENT AGENT)  
JULIE A. BROADUS, Ph.D. (PATENT AGENT)  
E. ERIC MILLS, P.E. (PATENT AGENT)

09-19-01  
JENKINS & WILSON, P.A.

PATENT ATTORNEYS  
SUITE 1400 UNIVERSITY TOWER  
3100 TOWER BOULEVARD  
DURHAM, NORTH CAROLINA 27707

TELEPHONE (919) 493-8000  
FACSIMILE (919) 419-0383

WEBSITE  
JENKINSANDWILSON.COM

September 18, 2001

RALEIGH OFFICE

NCSU CENTENNIAL CAMPUS  
VENTURE II SUITE 400  
920 MAIN CAMPUS DRIVE  
RALEIGH, NORTH CAROLINA 27606

TELEPHONE (919) 424-3710  
FACSIMILE (919) 424-3710

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I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patent and Trademarks, Washington, D.C.

Katrina T. Holland

*Katrina T. Holland*

Commissioner for Patents  
BOX PATENT APPLICATION  
Washington, D.C. 20231

Re: U.S. Patent Application for SOYBEAN SUDDEN DEATH SYNDROME  
RESISTANT SOYBEANS, SOYBEAN CYST NEMATODE  
RESISTANT SOYBEANS AND METHODS OF BREEDING AND  
IDENTIFYING RESISTANT PLANTS  
Our File No. 1268/2/2

Sir:

Please find enclosed the following:

1. A U.S. patent application for SOYBEAN SUDDEN DEATH SYNDROME RESISTANT SOYBEANS, SOYBEAN CYST NEMATODE RESISTANT SOYBEANS AND METHODS OF BREEDING AND IDENTIFYING RESISTANT PLANTS (125 pages);
2. Twenty-three (23) sheets of formal drawings;
3. Sequence Listing in paper and computer readable form (CRF);
4. Statement That Sequence Listing and Computer Readable Copy are the Same;
5. Preliminary Amendment (3 pages) with Substitute Sequence Listing (155 pages);
6. Copy of executed Declaration (4 pages);

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A  
Box 500

Commissioner for Patents  
September 18, 2001  
Page 2

7. Utility Patent Application Transmittal Form (Form PTO/SB/05, 2 pages);
8. Fee Transmittal Form (Form PTO/SB/17) in duplicate;
9. A check in the amount of \$698.00 to cover the application filing fee;
10. A return-receipt postcard to be returned to our offices with the U.S. Patent and Trademark Office date stamp thereon; and
11. A Certificate of Express Mail No.: ET475301932US.

Please contact our offices if there are any questions.

Although a check is being submitted, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment associated with the filing of this correspondence to Deposit Account Number 50-0426.

Respectfully submitted,

JENKINS & WILSON, P.A.



Arles A. Taylor, Jr.  
Registration No. 39,395  
Customer No. Bar Code Label:



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Enclosures

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**698.00**

## Complete if Known

Application Number  
Filing Date  
First Named Inventor **David A. Lightfoot**  
Examiner Name  
Group Art Unit  
Attorney Docket No. **1268/2/2**

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number  
Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	<b>355</b>
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)**355.00**

### 2. EXTRA CLAIM FEES

Total Claims **27** - 20\*\* = **7** X **9** = **63**  
Independent Claims **10** - 3\*\* = **7** X **40** = **280**  
Multiple Dependent  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**343.00**

\*\*for number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**0.00**

## SUBMITTED BY

Name (Print/Type)	<b>Arles A. Taylor, Jr.</b>	Registration No. (Attorney/Agent)	<b>39,395</b>	Telephone	<b>(919)493-8000</b>
Signature	<i>Arles A. Taylor, Jr.</i>	Date	<b>09-18-01</b>		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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## Addendum

1. SOYBEAN SUDDEN DEATH SYNDROME RESISTANT SOYBEANS, SOYBEAN CYST NEMATODE RESISTANT SOYBEANS AND METHODS OF BREEDING AND IDENTIFYING RESISTANT PLANTS

"Express Mail" mailing number.: ET475301932US  
Date of Deposit 9-18-2001  
I hereby certify that this paper and all papers and fees referred to herein are  
being deposited with the United States Postal Service "Express Mail Post  
Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated  
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Katrina T. Holland



Katrina T. Holland

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Lightfoot et al.

Group Art Unit: 1638

**Serial No.: To Be Assigned**

Examiner: Kimball, M.

Filed: Herewith

Docket No.: 1268/2/2

For: SOYBEAN SUDDEN DEATH SYNDROME RESISTANT SOYBEANS,  
SOYBEAN CYST NEMATODE RESISTANT SOYBEANS AND METHODS OF  
BREEDING AND IDENTIFYING RESISTANT PLANTS

\*\*\*\*\*

**STATEMENT THAT SEQUENCE LISTING AND  
COMPUTER READABLE COPY ARE THE SAME**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.821(f), applicants hereby state that the  
Sequence Listing information recorded in computer readable form is identical to the  
written Sequence Listing on paper.

Although it is believed that no fee is due, the Commissioner is hereby authorized  
to charge any deficiencies of payment associated with the filing of this correspondence  
to Deposit Account No. 50-0426.

Respectfully submitted,

JENKINS & WILSON, P.A.

Date: September 18, 2001

By:

Arles A. Taylor, Jr.

Arles A. Taylor, Jr.  
Registration No. 39,395

Suite 1400 University Tower  
3100 Tower Boulevard  
Durham, North Carolina 27707  
Telephone: (919) 493-8000  
Facsimile: (919) 419-0383

Customer No. Bar Code Label:



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